AD-416/417 RESEARCH PROJECTS
Supplement to ARIS On-Line Manual
Chapter 4A

Project Type Identification

D - funded by Congressionally appropriated funds (base)
  - for Inhouse research; pays salaries, supplies, etc.

D - 0500 HQS - funded by Congressionally appropriated funds
  - for Inhouse research

P - PL-480 - funded by FAS Special Foreign Currency funds
  - ARS scientist "Cooperating Scientist"

X - FAS funded projects other than the PL-480
  - for Inhouse research

T & R - incoming funds from outside sources

Trust Fund Cooperative Agreement
Cooperative research between ARS and another party where ARS is paid in advance to conduct research

Reimbursable Cooperative Agreement
Cooperative research between ARS and another party where ARS bills cooperator for completed work

Cooperative Research & Development Agreement (CRADA)
Agreement to conduct technology transfer activities with the other party contributing funds in partial support of ARS efforts

No Funds Cooperative Agreement
Funds not administered by ARS

S, C, G, RSA - outgoing funds

Specific Cooperative Agreement
Agreement between ARS and another party with mutual interests and contributions and will directly benefit ARS inhouse research. Cooperation is jointly planned and executed

Assistance Type **C**ooperative Agreement
Transfer of ARS funds to a recipient to accomplish a public purpose of support (will not benefit ARS directly); substantial involvement between ARS and recipient during performance

Outgoing **G**rant
Transfer of ARS funds to a recipient to accomplish a public purpose of support (will not benefit ARS directly); no substantial involvement between ARS and recipient during performance

Research **S**upport **A**greement
Cost reimbursable agreement between ARS and State Cooperative Institution for ARS to acquire goods and services

Creation of New Project Number

"D"

Find STP Code(s) on expiring or bridged project.
Use the STP Code(s) to create new project number.

FIRST 4 DIGITS ARE MODE CODE

Project with one STP Code uses the objective-approach and three zeroes, as in the following example:

STP Code: 1.2.1 1
= 3622-12000-005-00D

A project with two STP Codes (two is maximum number of STP Codes a project is allowed), both in the same objective-approach, uses the objective-approach and three zeroes, as in the following example:

STP Code: 2.2.3 5
STP Code: 2.2.4 5
= 3602-22000-006-00D

A project with two STP codes in different objective-approaches uses the lower objective-approach number, followed by the higher objective-approach number, followed by a zero, as in the following example. (Percentages within objective-approaches are not determining factors.)

STP Code: 2.2.4 7
STP Code: 1.2.4 3
= 3611-12220-002-00D

Siblings "R,S,T,G,C"

Use the Next Available Project Number when creating a **new** sibling project by adding a 416/417 to a 425 or adding a 550A to a 416/417.

All sibling projects would use the first three sections of the related Inhouse project.

When you renumber the siblings, renumber (start) siblings from 01 on (if the number was 03T, don't renumber it to 03T, but renumber it to 01T).

Mission Statement

- ❑ The Mission Statement describes the research goals of the Management Unit.

- ❑ The Location Mission Statement should summarize all MUs' missions within the entire location, and should be prepared by the Location Coordinator.

AD-416/417 Supplemental Information

- ❑ The Inhouse D project has a 'life' not to exceed 60 months.

- ❑ Before entering a new 416/417, obtain the next available project number by using the Next Available Project Number screens.

- ❑ Choose a Project Start reason for the new 416/417.

  0 = Normal Progression
  1 = Budget Increase
  2 = Extramural (550)
  3 = Headquarters Funding
  4 = External Funding (425)
  5 = Management Savings

- ❑ Start Date on a D project will be modified at HQS Level to coincide with the date the funds are posted by BPMS to the new project.
  - ☞ Once Active, the Start Date is never modified.

- ❑ Termination Date is based on the date the project falls into the National Program Peer Review Process conducted by the Office of Scientific Quality Review

- ❑ Total SY time listed on all Inhouse projects for any individual Scientist must not exceed 1.0.

- ❑ No SY time listed on R,T,S,G or C type projects.

- ❑ When entering Keywords, don't use same word twice or as preface to another word.

- ❑ Coding

  - ☞ All Inhouse projects (D, R, T) are required to have
    a Sustainable Agriculture Code (SA+0) totaling 100%
    and
    at least one Farm Bill Purpose Code (FBP1 - FBP6) totaling 100%.

- ❑ Regional Project Number and Percent

  - ☞ Make entries only if the ARS project is on record with CSREES as "contributing" to an active Regional Research Fund-supported project. Often, only part of a total ARS project contributes to a funded Regional Research Project.
  - ☞ To document and report this fact correctly, enter the percent contributed, as well as the Regional Research Project Number, in the AD-416/417.

NOTE: NO MORE THAN TWO REGIONAL RESEARCH PROJECTS MAY BE SHOWN FOR A SINGLE PROJECT NUMBER. Example: NC 001-50 Indicates that 50% of this project contributes directly to the objectives of Regional Research Project NC-1.

- ❑ Renumber any siblings as soon as the new 416/417 is in the Active database.

Examples of Remarks

REMARKS: Receiving PERMANENT FY-02 Fund Transfer, $20,000, from 3620-21000-003-00D to support technician for soybean research.

REMARKS: Receiving TEMPORARY FY-02 fund transfer, $20,000, from 3625-21000-003-00D to cooperatively fund SCA (3622-21220-001-OO1S) on Maize Genetics Stocks.

REMARKS: Extension of time from 9/30/01 to 12/31/02, and FY-02 added funds, $20,000, to SCA with University of Illinois to complete soybean cyst nematode research.

REMARKS: Proposal to American Soybean Association, $15,000.

REMARKS: Extramural agreement (SCA) with University of Wisconsin, $35,000.

REMARKS: FY 2002 Program Increase - Bioinformatics Institute for Model Plant Species of $540,000. FY-02 Permanent Fund Transfer of $540,000 from 0101-88888-028-00D. Modified AD-416/417 per Program Increase memo.

REMARKS: Renumbered from 3625-32000-029-02S to 3625-32000-061-01S to agree with Inhouse project. 550A modified to reflect Inhouse project number.

REMARKS: Combining 3611-22000-011-00D, 3611-22000-012-00D and 3611-22000-013-00D. Permanent Fund Transfer $756,558 completed, $243,518 - 011; $242,922 - 012; $270,228 - 013. 3611-22000-015-00D in NP303 Peer Review process.

REMARKS: Replacing 3602-12220-003-00D. FY-2001 PERMANENT Fund Transfer, $765,585 completed. NP202 Peer Review process for final Project Plan certified by OSQR as complete.
Replacing 3635-31000-001-OOD. PERMANENT fund transfer of $552,331.

REMARKS: Updated Investigator and SY time to agree with FY 02 ARMP.

Status of AD-416/417

If for some reason you have a record at your level (RL Level), ask yourself, "Did I forget to sign off on an action or did I make a Work Record and didn't need to." By displaying the 416/417, you can check the REMARKS and that can serve as a clue because the remarks should always indicate what was being done -- reason for action.

When you no longer see record in Work Status, it's moved to Active. Print your Official copy from there.

In cases of siblings where you'll be receiving money (R or T), even though the project may now be on the Active side, the Status Code can still be Pending if the monies have not been posted. Funds cannot be spent until monies are posted.

In cases of siblings where you're giving money away (S), even though the project may now be on the Active side, the Status Code can still be Pending until the agreement is executed and B&F adds the agreement info.

Budget Transactions is good for looking at the history of a project. It will tell all the transactions that have been processed through ARIS for that project for any given year.

Area to Overnite

If the following items are the ONLY changes, then the record will move into the overnite process:

Mode Code
Project Number
Agreement Number/Award Date
Investigators
SY Time
Keywords
Regional Project Number
Any combination of the above

Active AD-416/417

- ❏ The Active file contains existing approved projects.
- ❏ Modifications may be made to an AD-416/417 by creating a Work Record of the document from the Active.
- ❏ Once the project has been transmitted to the next level (CD, Area, NPS, etc.), no other changes can be made until these project actions have been approved and the record moved from the Work file to Active.
- ❏ Only one project action can be in progress at a time.
- ❏ Any record that exists in the Work file may be modified.
- ❏ Explain in Remarks what the submission is for (e.g., FY2002 Permanent Fund Transfer; extension of time; updated Investigator and SY time). Include as much detail as possible.

Print Approved Official Project

Print official copy of action after it has been approved through all levels. Management Unit can obtain a copy of approved action as soon as NPS Approved.

Note: If a project record appears in Work Status, it is not yet available to print the official copy.

Status Designations are:
Active Project is official and research can be done; monitor on Termination Date.
Pending Project/proposal has been submitted for funding; monitor on Start Date(requires Agreement Number, Award Date and funds posted to move to Active).
Expired Project at end of or past specified Termination Date; requires Annual Research Progress Report to terminate.
Terminated Project has all paperwork completed.
Unfunded Project/proposal was unfunded by source; action complete.

Updating Projects

- ❑ Projects have a life not to exceed 60 months.

D PROJECTS

- ❑ Look at the Termination Date.
  - ☞ If past or close to the Termination Date, check with the Research Leader to see what the 'plan' is for the project.
    Replacing, Extending or Bridging are some of the options.
  - ☞ If you replace or bridge, do the Permanent Fund Transfer to the new project from the old project.

T,R,S,C,G SIBLING PROJECTS

- ❑ Look at the Project Number.
- ❑ Does it need to be renumbered?
  - ☞ Renumber the AD-416.
- ❑ Check Inhouse Project Numbers.
  - ☞ Update Inhouse Project Number and Research Codes on 425s.
  - ☞ Update Inhouse Project Number on 550As.
- ❑ Check any S project.
- ❑ Funded by a T?
  - ☞ If so, renumber T first, as S uses T number as the Inhouse Project Number on the 550A.
- ❑ Look at the Termination Date.
  - ☞ If it needs to be extended, check with the scientist and work with the scientist to get the project extended.
  - ☞ If it's not going to be extended, terminate it yourself or at least be prepared to terminate it through the AD-421 Annual Research Progress Report process.
- ❑ Look at the Investigator.
- ❑ Is the Investigator still assigned to this project?
  - ☞ Update Investigator and SY times as needed.
- ❑ Look at the Special Codes.
- ❑ Is there a BRCOM code listed?
  - ☞ If so, the Biosafety Info in the Approach should be current or updated.
  - ☞ Find and work with your Committee.

If a sibling action involving $$ is done in ARIS and forwarded to Area Level, please have documentation paperwork sent to the Area, following your Location standard operating procedures, as soon as you can.

If the Extramural Agreements Specialist gets the paperwork, it's shared with the Program Analyst; if the Program Analyst gets the paperwork, it's shared with the Extramural Agreements Specialist.

The ARIS action will remain at the Area Level until the paperwork is received, either by Extramural Agreements Specialist or Program Analyst.

425s

- ❑ Look at the status.
  - ☞ If it's Pending, check with the scientist on status and update the 425 in ARIS with the info given you to either fund, award or unfund. Pending status is all right as long as the scientist has confirmed the status.
- ❑ On both Pending and Active, look at the End Date.
- ❑ Is the End Date past or close?
  - ☞ Check with the scientist on status and update the 425 in ARIS with the info given you to either terminate, extend or unfund.
- ❑ Look at the Inhouse Project Numbers.
  - ☞ Update Inhouse Project Number and Research Codes on 425s as needed.
- ❑ Look at the Contact.

- ❑ Is the Contact name still correct?
  - ☞ Update the 425 in ARIS as needed.

NOTE: New or 425s involving $$ will sit at Area Level until paperwork is received, either by Extramural Agreements Specialist or Program Analyst.

Renumbering Sibling Projects

- ❑ Renumbering a sibling project must be done when the original Inhouse project has been replaced with a new AD-416/417.

- ❑ Sibling projects include Trusts (T), Reimbursables (R), Specific Cooperative Agreements (S), Contracts (C), and Grants (G).

- ❑ Renumbering a sibling project requires the following steps:
  - ☞ Find Next Available Project Number - R, T, S, C, G
  - ☞ Create a Work Record from Active 416/417 Records
  - ☞ Modify 416/417 and the 550 or 425 in the Work file.
  - ☞ Remarks section of 416 must have reason for the current action (Renumbered from 1235-52000-001-01T to agree with new Inhouse project.)
- ❑ If the project is a Reimbursable (R) or Trust (T), the 425 must also be modified.
  - ☞ 425
  - ☞ Research Perf Org/Inhouse
  - ☞ Research Codes (verified and/or modified)
  - ☞ Select Inhouse SOI & STP Codes
- ❑ If the project is a Specific Cooperative Agreement (S) or Grant (G), the 550 must also be modified.
  - ☞ 550 data
  - ☞ Related Inhouse Project No. **NOTE:** This should be the associated **Inhouse** project number. The budget page is separate from this entry and could possibly have a different project number than the associated Inhouse project number.

Remarks

REMEMBER that when a Work Record is created, the REMARKS SECTION IS ERASED.

- ❑ Use Special Classification Code BARD 100% for Bard Projects
- ❑ Use Special Classification Code CRG 100% for CSREES Competitive Grants
- ❑ Use Special Classification Code CRADA 100% for CRADAS's
- ❑ IF BRCOM coding is added, the certification line must be added to the Approach section of the AD-416
- ❑ BPMS codes can only be added by HQS
- ❑ All inhouse projects, D, R and T types, are to have the Farm Bill Special Classification Code(s) and a Sustainable Agriculture Special Classification Code on the AD-417.

Farm Bill Coding

FBP1	Continue to satisfy human food and fiber needs.
FBP2	Enhance the long-term viability and competitiveness of food production and agricultural system of the United States within the global economy.
FPB3	Expand economic opportunities in rural America and enhance the quality of life for farmers, rural citizens and society as a whole.
FBP4	Improve the productivity of the American agricultural system and develop new agricultural crops and new uses for agricultural commodities.
FBP5	Develop information and systems to enhance the environment and the natural resource base upon which a sustainable agricultural economy depends.
FBP6	Enhance human health by fostering the availability and affordability of a safe, wholesome, and nutritious food supply that meets the needs and preferences of the consumer;-and by assisting farmers and other rural residents in the detection and prevention of health and safety concerns.

- ❑ The assigned percentage must equal 100% for each project.
- ❑ If multiple codes are assigned to the project, the assigned percentage cannot exceed 100%, with a minimum of 10% for a single code.

FARM BILL CODES from ARIS

FBP	FBP	FARM BILL PURPOSES
FBP1	FBP	HUMAN FOOD & FIBER NEEDS
FBP2	FBP	FOOD PRODUCTION & AGR SYS
FBP3	FBP	ECONOMIC OPPORTUNITIES
FBP4	FBP	NEW AGR CROPS & NEW USES
FBP5	FBP	ENVIRON & NATURL RESOURCE
FBP6	FBP	ENHANCE HUMAN HEALTH

- ❑ Use SA-X for the coding, derived from a protocol that uses seven criteria.
- ❑ Each project is to be rated on each of the seven criteria.
- ❑ In each case, the question to be answered is whether a project contributes to sustainability according to the criteria at hand (+), is neutral (0), or even detracts (-1).
- ❑ Adding the seven scores makes possible final scores from -7 to +7.
- ❑ Those projects scoring +2 or better are judged to contribute significantly.
- ❑ Those scoring +4 or better are judged to be wholly dedicated to furthering sustainable agriculture.
- ❑ Worksheet is found at end of Supplemental Manual.

1. Integrated System Of Plant And Animal Production Practices

Research dealing with whole-farm systems. The research should include the influence of non-controllable variables, farm enterprise managers, external inputs, management of the atmospheric, aquatic, energy, soil and organic resources of the ecosystem in relation to food, feed or fiber production. In general, the research should use a holistic and interdisciplinary approach. The objective should be to sustain the economic viability of the specific farming enterprise type while making effective use of natural resources in an environmentally sound manner, and to use appropriate natural biological cycles and controls to minimize dependency on external inputs.

2. Satisfy Human Food And Fiber Needs

Research designed to contribute to the long-term goal of producing an adequate amount of safe and nutritious food and of fiber in an economically viable, environmentally sound and sociologically acceptable manner. In general, the research should focus on technologies and practices that reduce dependence of crop and livestock agriculture on external inputs such as fuel, irrigation, water, fertilizers and pesticides.

3. Enchance Environmental Quality

Research designed to enhance environmental quality through the development of practices that minimize the degradation of soil, water, air or organic resources from chemicals, erosion or waste products, or restores them. The research may deal with concerns of both off-site and on-site impacts of agricultural practices. This may be accomplished through efficient utilization of nutrients and practices that prevent leaching, control erosion or recycle wastes safely and beneficially through application to agricultural land.

4. Natural Resource Conservation and Enhancement

Research that promotes the development of technologies and practices that conserve soil, water, energy and organic resources. Natural resource conservation research in agriculture usually deals with processes designed to make more efficient use of natural resources or to control the degradation of these resources. Control of erosion, nutrient runoff and organic matter depletion are examples of types of natural resource conservation that can be achieved through the development of procedures such as reduced tillage,

covercrop and crop rotation systems. Providing adequate levels of micronutrients from industrial wastes or other sources is another example of natural resource conservation.

5. Biological Resource Utilization

Research leading to the development of technologies and practices that promote the use of beneficial biological systems and processes to maintain and improve soil quality, protect crops and reduce the need for external inputs. Examples include biological pest controls, biological nitrogen fixation, recycling of organic wastes and residues, composting of rural, suburban and urban wastes and increasing populations of beneficial insects, nematodes, earthworms and microflora. Crops may also be selected or genetically altered for characteristics that improve soil physical properties, drought tolerance, pest and disease resistance, and production of organic residues which protect soils from erosion and ground water from contamination.

6. Economic Viability

Research designed to develop practices and systems that minimize risk and enhance the economic viability of farn operations, with emphasis on the family farm. The research should focus on long-term sustainability, but cannot ignore the need for short-term economic survival. The impact of local, state or national farm policy should be included. To avoid continued overloading and depression of prices in the food and fiber markets, avenues should be developed to alter farm products in alternative markets such as energy, paper and building materials; development of new products is an example of contributing to economic viability and may also support quality of life.

7. Quality of Life

Research that promotes the development of farming systems designed to enhance the quality of life for farmers, members of rural communities and society as a whole. The research should result in improved health, safety, and stability in the rural community; it should contribute to increased on-farm and local employment through emphasis on local added value opportunities and on reducing dependence on purchased inputs by substituting managerial increases of on-farm and local employment through emphasis on local value added opportunities and and on reducing dependence on purchased inputs by substituting managerial skills and local resources.

BRCOM Coding

Due to security issues, changes are being made to exclude previously cited information for any projects doing biosafety research.

- ❑ It is the responsibility of the Management Unit to provide the Institutional Biosafety Committee (IBC) with a project summary so that the Committee can complete the certification, recertification, or exemption, unless you have other procedures in place at your location.
- ❑ If this information is not available during entry of the project into ARIS, the project should be amended as soon as the principal investigator receives approval from IBC.
- ❑ BRCOM is the Special Classification code used on the AD-417 when a project requires a Biosafety Level and review by the IBC.
- ❑ If you have a BRCOM code, you must have BT code(s). The BRCOM PERCENTAGE should NOT BE GREATER than the total BT percentages on the AD-417.
- ❑ If your project(s) is coded BRCOM, the last sentence of the Approach Statement on the AD-416 should record the date of approval and the Biosafety Level assigned to the project by the IBC.
  - ☞ Type in the 416 REMARKS Section, **"IBC information updated."**
  - ☞ Presentation of the required information should be in the following format:
    - ☞ For new projects being certified: **BSL-1; Certified** February 25, 2001
    - ☞ For recertifying projects: **BSL-1; Recertified** February 25, 2001
    - For BL-Exempt projects: **BSL-Exempt; Recertified** February 25, 2001

  NOTE: Do not include city, state, laboratory name, room number or names of scientists.
- ❑ **BRCOM coded projects MUST BE recertified ANNUALLY**.
- ❑ Some locations receive Biosafety Level certification which covers a period of more than one year. In those instances, the Biosafety Level would be recertified at the end of that period of time.
- ❑ If the project is EXEMPT at the time it is being recertified, the BRCOM code remains on the 417; DO NOT remove it.
- ❑ When the project has been recertified, it must show "recertified mm/dd/yy".

Biotechnology Research Projects

Background: Biotechnology is defined as the use of living organisms, cells, subcellular organelles, and/or parts of those structures, as well as the molecules, to effect chemical or physical changes needed to generate new products for research and commercialization. Specifically, biotechnology is the use of genetically engineered recombinant nucleic acid molecules to effect desired changes in biological materials.

It is the policy of ARS to explore applications of biotechnology methods that have potential to solve priority problems of national scope. ARS will use vigilance in investigating new applications of biotechnology to ensure the protection of both public health and the environment. All biotechnology research will be carried out in accordance with applicable Federal regulations and research guidelines.

Research Guidelines: It is the responsibility of each ARS scientist to comply with the National Institutes of Health (NIH) Guidelines for Research Involving Recombinant DNA Molecules. This shall include submission of the research protocol to the IBC for review and determination. A risk assessment of the proposed research must be made, and an assignment of one of four Biosafety Levels (BSL-1 through 4; BSL-4 being the most stringent containment condition). The risk assessment is initially made by the principal investigator and must receive concurrence from both appropriate NPL and the IBC. The four Biosafety Levels reflect a combination of: Laboratory practices and techniques, safety equipment, laboratory facilities appropriate for the operations performed and the hazard posed by agents, and for the laboratory functions and activities.

NOTE:
RESEARCH CANNOT BE INITIATED UNTIL FINAL APPROVAL FROM THE IBC HAS BEEN RECEIVED. FURTHERMORE, THE SCIENTIST MUST ANNUALLY SUBMIT A REPORT/ REQUEST TO THE LOCAL IBC FOR REVIEW, RECERTIFICATION AND APPROVAL OF THE BIOTECHNOLOGY RESEARCH.

Fund Transfers
Supplement to ARIS On-Line Manual
Chapter 4B

- ❑ NEXT FY Fund Transfers may be entered in ARIS approximately mid-May of each year.
- ❑ Permanent Fund Transfers to be included in the NEXT FY ARMPs final Allocation will be accepted at Area Level until approximately mid-July of each year (This assures the accuracy of the final Allocation done by BPMS the first week of August.).
  - ☞ Replacement or bridging projects
  - ☞ Transfer of funds from one Area project to another Area project
  - ☞ Temporary postdoc Fund Transfers

UPDATE INVESTIGATOR/SY TIME
Supplement to ARIS On-Line Manual
Chapter 15A

- ❑ Update all D projects and siblings (R,T,S,G or C) whenever there is a change in investigator(s) and/or SY time assigned to a project.
- ❑ **For instance**: after submission of your final ARMP; project replacement; hire/retirement of SYs, etc.
- ❑ In addition, each year in September or October, SY time should be reviewed and modified to match Management Unit ARMP.

Note: ARS scientists cannot have time on siblings -- only D projects.

There are three parts to this process:

1. Select and print active projects from ARIS.

2. Verify investigators and SY time.

3. If changes are needed, create a work record from the Active files and make the necessary modifications in the Work File.

GUIDELINES:

- ❑ Investigator Name on D type projects:
  -- ONLY list Category 1 and 4 SYs and their associated time; no Category 2 (Research Associate/Post-doc).
  -- ONLY the word VACANT is acceptable for a non-encumbered position.
  -- DO NOT use TBD, Vacancy, (Vacancy), vice xxxxx.
  -- VACANT can be used as the first or any other investigator name. DELETE any that are listed in error.

- ❑ SY-Time:
  -- SY time per scientist can be no greater than 1.00 (total on all D projects).
  -- If you add/modify the scientist Investigator or SY time on a project, modify any other project on which the scientist has Investigator or SY time so the SY time remains at 1.00 total for the scientist.

- ❑ ARMP Package:
  -- Investigator or SY times should match the ARMP and can be as low as 0.05.

- ❑ 0500 Projects:
  -- Generally, SY time is not shown on 0500 projects since the scientist's salary is being paid from the D project, but the name is shown with 0.0 Investigator or SY time. However, in some cases, SY time can be shown on the 0500, but must be reduced on other projects, so that the total does not exceed 1.00.

- ❑ SY-Time and Investigator Name on R, T, S, G or C sibling projects:
  -- SY time of Category 1 and 4 scientists MUST BE 0.00.
  (They are already accounted for 1.00 time on D project(s)). All other names (University PI on S, G) MUST BE 0.00 time.

Verify Investigators & SY Time with CRAS from Approved Current FY ARMP

- ❑ The CRAS (CRIS Resource Allocation Schedule) is the portion of the ARMP package that details each project within the Management Unit and lists scientific personnel and their time (FTE) assigned to a project(s).
- ❑ Once the final ARMP has been submitted, verify that the data in the ARMP matches the 416 record in ARIS.
- ❑ Use upper section only of CRAS since these are the SYs (scientific professionals -- Category 1 and 4 scientists).
- ❑ DO NOT include Research Associates (Category 2) in the investigators and SY total.
- ❑ For sibling projects (R,T,S,G or C), a separate CRAS should be attached to the ARMP.
- ❑ The scientist will be listed, but no time (FTE) will be assigned, and no SY time should be listed on sibling projects in ARIS.

If either Investigator or SY time fields on the 416 do not match the CRAS, update the project in ARIS.

Helpful Hints:

To add VACANT SY positions on the 416, search for Vacant.

If you have an SY who was recently hired as a Category 1 or 4 scientist, the individual’s name may not show up in the 416/417 Personnel File when you want to add them as an ARS Investigator(s) on the 416. You may have to wait 4-6 weeks from an individual’s EOD date to allow sufficient time for the action to be reflected in the database.

POST-DOC APPLICATION PROCESS
Supplement to ARIS On-Line Manual
Chapter 15G

Each year, the ARS Administrator funds 50 post-doc proposals for a two year period through the ARS Administrator Funded Research Associate Program.

Proposal Information

- ❑ Proposals submitted by a single ARS permanent scientist (Category 1 or 4), who serves as the mentor and supervisor of the Research Associate.
- ❑ Proposals with a Category 2 scientist as the supervisor cannot be submitted.
- ❑ Proposals cannot be submitted by a scientist on a PIP or by a temporary Scientist.
- ❑ Only ONE proposal can be submitted by a scientist.
- ❑ Proposals should outline research that can be accomplished in 2 years and is directly relevant to the CRIS project under which it is submitted.
- ❑ Proposals that identify specific achievable objectives will receive more favorable consideration than those that simply speed progress towards long-term goals.
- ❑ Every research project in ARS is part of either one or two National Programs; the postdoc proposal must identify a single National Program under which it is to be considered.
  - ☞ The identified National Program must be one associated with the base project. If the In-house project is associated with two National Programs, either the primary or the secondary National Program can be identified.
  - ☞ In the text, the proposal should also specify which National Program objective(s) will be advanced by the proposed research.

Evaluation Process

- ❑ Each proposal will be evaluated independently by the Area Director and the National Program Leadership Team for the identified National Program.
- ❑ Evaluation criteria will include scientific excellence, relevance to National Program objectives, and capacity to perform and manage the proposed work.
- ❑ The two scores will be combined to determine which proposals are funded.
- ❑ One proposal will be recognized as the single best proposal overall, and the Research Associate will be designated as the T.W. Edminster Research Associate.
- ❑ The funded proposals, and the T.W. Edminster winner, will be announced at the Administrator’s Council meeting each year in September.

Headquarters Funding

- ❑ The awarded proposals are funded for a two-year period at $40,000 per year.
- ❑ If a Minority Outreach candidate is hired, the post-doc is funded for a two-year period at $50,000 per year. Minority Outreach for the purposes of the post-doc program are designated as the following: Black, Hispanic, and American/Alaskan Native.
- ❑ The T.W. Edminster Awardee receives $50,000 per year for a two year period.

Post-doc Program Schedule

- ❑ Schedule will be sent out mid-June

Preparation of Proposals (ARIS)

- ❑ Proposals will be prepared offline in word processing software. "How to" instructions will be sent out in mid-June on how to prepare.
- ❑ The Areas will follow the schedule determined by the National Program Staff, but each Area may have different deadlines to receive the proposals to their Area Office.
  - ☞ Proposals should be submitted according to the individual Area's schedules.
- ❑ The Post-doc system will be closed each year, usually around the end of July (refer to the post-doc schedule for the respective year).
  - ☞ Once the system is closed, no proposals can be entered and the ranking process will begin.

Post-doc Fund Transfer

- ❑ Once a post-doc is hired for the awarded post-doc position, the Management Unit is responsible for requesting the funding each year.
- ❑ The funding project for post-doc funding will always be **0101-88888-016-00D.**

- ❑ When requesting funding, the following information must be included in the remarks section of the 416 submission: name of mentor, name of post-doc, EOD, Class of FY-XX, minority outreach information (yes or no), requested dollar amount, and remaining balance available after requested amount is deducted.

NOTE: Maximum allowable per year is $40,000 or $50,000 if a minority outreach candidate is hired. T.W. Edminster Awardee also can receive a maximum of $50,000 per year. If the person is a minority outreach recruit OR the T.W. Edminister Awardee, add this information to the Remarks section.

- ❑ The postdoc funding works by FISCAL Year; therefore, the maximum funds received in one Fiscal Year is $40,000.
- ❑ RL and LAO determine the amount to be released.
  - ☞ (Example: If a postdoc enters on duty (EOD) in July, transfer only a portion for this FY, and then do two more transfers for the next 2 FYs.)
- ❑ The postdoc must be physically on board in ARS before submitting the temporary fund transfer request from the Headquarters project. Example: The postdoc began work on 6/1/01; therefore, on 6/2/01 you can submit the request for funds via an ARIS action.

Remarks for Request of Full Amount:

$40,000 FY-XX TEMPORARY fund transfer for Administrator funded postdoc position, Samuel M. Davis, Class of XX (EOD 06/01/01). $0 remaining balance. Mentor is James E. Smith.

or

Remarks for Request of Partial Amount:

$35,000 FY-XX TEMPORARY fund transfer for Administrator funded postdoc position, Michael M. Doe, Class of XX (EOD 06/01/01). $5,000 remaining balance to be FY-XX request. Mentor is James E. Smith.

- ❑ If you have a postdoc entering on duty in mid-late July, it is permissible to complete the next FY temporary fund transfer action FIRST, to be included in the final Allocation dollars (postdoc must be physically on

board), and then complete the current FY temporary fund transfer action to recoup the expended salary funds.

Area Program Analyst will submit action in RMIS to NPS. The request will be signed by the Assistant Deputy Administrator and forwarded to BPMS for the release of funds.

MUs may monitor action through ARIS (NPS Review and Work Status) to be informed when fund transfer is officially approved.

Other Information

- ❑ Post-doc positions are awarded to an individual scientist within a management unit, not the management unit in general.
- ❑ If a scientist who receives a post-doc award leaves the unit and/or Agency before a post-doc is hired, the position and funding are lost/forfeited.
  - ☞ If a post-doc is already hired, another mentor is assigned to supervise the post-doc.
- ❑ If a post-doc leaves the position or is converted to a different permanent position in the Agency within the 2-year appointment period, the remaining funding is forfeited.
  - ☞ All unused funds for that fiscal year must be returned to Headquarters. Contact your Area Program Analyst in order to complete this action.